

FORM PTO-1449  
(REV. 7-80)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

980034.417C1

APPLICATION NO.

09/960,264

THIRD SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

APPLICANTS

Ronald Berenson et al.

FILING DATE

September 20, 2001

GROUP ART UNIT

1651

## U.S. PATENT DOCUMENTS

| *EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE     | NAME                 | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|----------------------|----|-----------------|----------|----------------------|-------|----------|-------------------------------|
| WLC                  | AA | 5,443,983       | 08/22/95 | Ochoa et al.         | 435   | 240.2    |                               |
|                      | AB | 5,470,730       | 11/28/95 | Greenberg et al.     | 435   | 172.3    |                               |
|                      | AC | 5,674,704       | 10/07/97 | Goodwin et al.       | 435   | 69.1     |                               |
|                      | AD | 5,804,442       | 09/08/98 | Romet-Lemonne et al. | 435   | 374      |                               |
|                      | AE | 6,113,901       | 09/05/00 | Bluestone            | 424   | 154.1    |                               |
|                      | AF | 6,143,297       | 11/07/00 | Bluestone            | 424   | 184.1    |                               |
|                      | AG | 6,129,916       | 10/10/00 | Chang                | 424   | 179.1    |                               |
|                      | AH | 6,197,298       | 03/06/01 | Chang                | 424   | 179.1    |                               |
|                      | AI | 6,316,257       | 11/13/01 | Flyer et al.         | 435   | 372.3    |                               |
|                      | AJ | 6,355,779       | 03/12/02 | Goodwin et al.       | 530   | 388.23   |                               |

## FOREIGN PATENT DOCUMENTS

|     |    | DOCUMENT NUMBER | DATE     | COUNTRY | TRANSLATION |    |
|-----|----|-----------------|----------|---------|-------------|----|
|     |    |                 |          |         | YES         | NO |
| WLC | AK | EP 633930 B1    | 04/26/00 | EPO     |             |    |
|     | AL | WO 97/05233     | 02/13/97 | WIPO    |             |    |
|     | AM | WO 97/05239     | 02/13/97 | WIPO    |             |    |
|     | AN | WO 03/024312    | 03/27/03 | WIPO    |             |    |

## OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

|     |    |   |
|-----|----|---|
| WLC | AO | Baroja, M.L. et al., "The Anti-T Cell Monoclonal Antibody 9.3 (Anti-CD28) Provides a Helper Signal and Bypasses the Need for Accessory Cells in T Cell Activation with Immobilized Anti-CD3 and Mitogens," <i>Cellular Immunology</i> 120: 205-217, 1989. |
|     | AP | Bergstresser, P.R. et al., "T Cell-Mediated Terminal Maturation of Dendritic Cells," in <i>Dendritic Cell in Fundamental and Clinical Immunology</i> , Ricciardi-Castagnoli (Ed.), Plenum Press, New York, 1997, pgs. 65-69.                              |
|     | AQ | Groh, V. et al., "Stimulation of T Cell Autoreactivity by Anomalous Expression of NKG2D and its MIC Ligands in Rheumatoid Arthritis," <i>Proceedings of the National Academy of Sciences</i> 100(16): 9452-9457, August 5, 2003.                          |

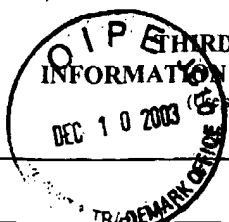
EXAMINER

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DATE CONSIDERED

4/7/4

\* EXAMINER: Initial if reference considered, whether or not criteria is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant(s).

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|  THIRD SUPPLEMENTAL<br>INFORMATION DISCLOSURE STATEMENT<br>(Use several sheets if necessary)   |    |   |          | APPLICANTS<br>Ronald Berenson et al. |             |                               |                               |
|   |    |   |          | FILING DATE<br>September 20, 2001    |             | GROUP ART UNIT<br>1651        |                               |
| <b>U.S. PATENT DOCUMENTS</b>  |    |   |          |                                      |             |                               |                               |
| *EXAMINER<br>INITIAL  |    | DOCUMENT NUMBER   | DATE     | NAME                                 | CLASS       | SUBCLASS                      | FILING DATE<br>IF APPROPRIATE |
| <i>BL</i>   | BA | 2001/0031253  | 10/18/01 | Gruenberg                            | 424         | 93.1                          |                               |
|   | BB | 2002/0090362  | 07/11/02 | Strauss                              | 424         | 93.21                         |                               |
|   | BC | 2002/0182730  | 12/05/02 | Gruenberg                            | 435         | 375                           |                               |
|   | BD | 2003/0039650  | 02/27/03 | Gruenberg                            | 424         | 144.1                         |                               |
|   | BE | 2003/0134341  | 07/17/03 | Gruenberg                            | 435         | 7.21                          |                               |
|   | BF | 2003/0134415  | 07/17/03 | Gruenberg                            | 435         | 372                           |                               |
|   | BG | 2003/0170238  | 09/11/03 | Gruenberg                            | 424         | 144.1                         |                               |
|   | BH | 2003/0175242  | 09/18/03 | Gruenberg                            | 424         | 93.2                          |                               |
|   | BI | 2003/0175272  | 09/18/03 | Gruenberg                            | 424         | 144.1                         |                               |
|   | BJ | 2003/0194395  | 10/16/03 | Gruenberg et al.                     | 424         | 93.7                          |                               |
| <b>FOREIGN PATENT DOCUMENTS</b>   |    |   |          |                                      |             |                               |                               |
|   |    | DOCUMENT NUMBER   | DATE     | COUNTRY                              | TRANSLATION |                               |                               |
|   |    |   |          |                                      | YES         | NO                            |                               |
| <i>BL</i>   | BK | WO 03/025158  | 03/27/03 | WIPO                                 |             |                               |                               |
|   | BL | WO 03/034820  | 05/01/03 | WIPO                                 |             |                               |                               |
|   | BM | WO 03/043643  | 05/30/03 | WIPO                                 |             |                               |                               |
|   | BN | WO 03/077658  | 09/25/03 | WIPO                                 |             |                               |                               |
| <b>OTHER PRIOR ART</b> (Including Author, Title, Date, Pertinent Pages, Etc.)   |    |   |          |                                      |             |                               |                               |
| <i>BL</i>   | BO | Lanzavecchia, A., "The Role of Dendritic Cells in the Generation of Effector and Memory T Cell Responses," from <i>The Midwinter Conference of Immunologists</i> , January 22-25, 2000, available at <a href="http://www.midwconimmunol.org/Midwinter00/sessions/lanzavecchia.html">www.midwconimmunol.org/Midwinter00/sessions/lanzavecchia.html</a> . |          |                                      |             |                               |                               |
| <i>BL</i>   | BP | Li, Q. et al., "Expanded Tumor-reactive CD4 <sup>+</sup> T-Cell Responses to Human Cancers Induced by Secondary Anti-CD3/Anti-CD28 Activation," <i>Clinical Cancer Research</i> 5: 461-469, February 1999.  |          |                                      |             |                               |                               |
| <i>BL</i>   | BQ | Li, Q. et al., "Immunological Effects of BCG as an Adjuvant in Autologous Tumor Vaccines," <i>Clinical Immunology</i> 94(1): 64-72, January 2000.   |          |                                      |             |                               |                               |
| EXAMINER<br><i>Lanzavecchia</i>   |    |   |          | DATE CONSIDERED<br><i>4/2/4</i>      |             |                               |                               |
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| *EXAMINER<br>INITIAL  | DOCUMENT NUMBER  | DATE   | NAME    | CLASS                                       | SUBCLASS | FILING DATE<br>IF APPROPRIATE        |  |
|   | CA   |  |         |   |          |                                      |  |
|   | CB   |  |         |   |          |                                      |  |
|   | CC   |  |         |   |          |                                      |  |
|   | CD   |  |         |   |          |                                      |  |
|   | CE   |  |         |   |          |                                      |  |
|   | CF   |  |         |   |          |                                      |  |
|   | CG   |  |         |   |          |                                      |  |
|   | CH   |  |         |   |          |                                      |  |
|   | CI   |  |         |   |          |                                      |  |
|   | CJ   |  |         |   |          |                                      |  |
| <b>FOREIGN PATENT DOCUMENTS</b>   |  |  |         |   |          |                                      |  |
|   | DOCUMENT<br>NUMBER   | DATE   | COUNTRY | TRANSLATION<br>YES    NO                    |          |                                      |  |
|   | CK   |  |         |   |          |                                      |  |
|   | CL   |  |         |   |          |                                      |  |
|   | CM   |  |         |   |          |                                      |  |
|   | CN   |  |         |   |          |                                      |  |
|   | CO   |  |         |   |          |                                      |  |
| <b>OTHER PRIOR ART</b> <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>  |  |  |         |   |          |                                      |  |
| CP  | Zou, J.-P. et al., "Tumor-Bearing Mice Exhibit A Progressive Increase in Tumor Antigen-Presenting Cell Function and A Reciprocal Decrease in Tumor Antigen-Responsive CD4 <sup>+</sup> T Cell Activity," <i>The Journal of Immunology</i> 148(2): 648-655, January 15, 1992. |  |         |   |          |                                      |  |
| CQ  |  |  |         |   |          |                                      |  |
| CR  |  |  |         |   |          |                                      |  |
| EXAMINER<br><b>Clarkford</b>  |  |  |         | DATE CONSIDERED<br><b>4/7/4</b>             |          |                                      |  |
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